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PTO/SB/05 (4/98)
Approved for use through 09/30/2000. OMB 0651-0032
Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No. **MI22-1531**

First Inventor or Application Identifier **Leonard Forbes**

Title **Methods of Forming Capacitor Structures, and Capacitor Structures**

Express Mail Label No.

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ * Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☒ Specification [Total Pages **36**]
(preferred arrangement set forth below)
 - Descriptive title of the Invention (includes title pg)
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to Microfiche Appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
3. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets **6**]
4. Oath or Declaration [Total Pages **4**]
 - a. ☒ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 C.F.R. § 1.63(d))
(for continuation/divisional with Box 16 completed)
 - i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

5. ☐ Microfiche Computer Program (Appendix)
6. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Copy
 - b. ☐ Paper Copy (identical to computer copy)
 - c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

7. ☒ Assignment Papers (cover sheet & document(s))
8. ☐ 37 C.F.R. § 3.73(b) Statement of Power of Attorney (when there is an assignee)
9. ☐ English Translation Document (if applicable)
10. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
11. ☐ Preliminary Amendment
12. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
13. ☐ * Small Entity Statement(s) ☐ Statement filed in prior application (PTO/SB/09-12) Status still proper and desired
14. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
15. ☒ Other: **Check**

NOTE FOR ITEMS 1 & 13 IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. _____

Prior application information: Examiner _____

Group / Art Unit: _____

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

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(Insert Customer No. or Attach bar code label here)

or ☐ Correspondence address below

Name

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

David G. Latwesen, Ph.D.

Registration No. (Attorney/Agent)

38,533

Signature

[Signature]

Date

1/5/2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

FEE TRANSMITTAL

Patent fees are subject to annual revision on October 1.
These are the fees effective October 1, 1997.
Small Entity payments must be supported by a small entity statement,
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.
See 37 C.F.R. §§1.27 and 1.28.

TOTAL AMOUNT OF PAYMENT (\$) 1002.00

Complete if Known

Application Number Filed herewith
Filing Date
First Named Inventor Leonard Forbes
Examiner Name
Group / Art Unit
Attorney Docket No. MI22-1531

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:
Deposit Account Number 23-0925
Deposit Account Name Wells, St. John et al.
☒ Charge Any Additional Fee Required Under 37 C.F.R. §§ 1.16 and 1.17 ☐ Charge the Issue Fee Set in 37 C.F.R. § 1.18 at the Mailing of the Notice of Allowance

2. ☒ Payment Enclosed:
☒ Check ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
101	201	Utility filing fee	710
106	206	Design filing fee	
107	207	Plant filing fee	
108	208	Reissue filing fee	
114	214	Provisional filing fee	
SUBTOTAL (1)			(\$ 710)

2. EXTRA CLAIM FEES

Extra Claims Fee from below Fee Paid
Total Claims 34 - 20** = 14 x 18 = 252
Independent Claims 3 - 3** = 0 x 80 = 0
Multiple Dependent 0 = 0

**or number previously paid, if greater; For Reissues, see below

Large Entity Fee Code	Small Entity Fee Code	Fee Description
103	203	Claims in excess of 20
102	202	Independent claims in excess of 3
104	204	Multiple dependent claim, if not paid
109	209	** Reissue independent claims over original patent
110	210	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 252)

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
105	205	Surcharge - late filing fee or oath	0.00
127	227	Surcharge - late provisional filing fee or cover sheet	0.00
139	239	Non-English specification	0.00
147	247	For filing a request for reexamination	0.00
112	212	Requesting publication of SIR prior to Examiner action	0.00
113	213	Requesting publication of SIR after Examiner action	0.00
115	215	Extension for reply within first month	0.00
116	216	Extension for reply within second month	0.00
117	217	Extension for reply within third month	0.00
118	218	Extension for reply within fourth month	0.00
128	228	Extension for reply within fifth month	0.00
119	219	Notice of Appeal	0.00
120	220	Filing a brief in support of an appeal	0.00
121	221	Request for oral hearing	0.00
138	238	Petition to institute a public use proceeding	0.00
140	240	Petition to revive - unavoidable	0.00
141	241	Petition to revive - unintentional	0.00
142	242	Utility issue fee (or reissue)	0.00
143	243	Design issue fee	0.00
144	244	Plant issue fee	0.00
122	222	Petitions to the Commissioner	0.00
123	223	Petitions related to provisional applications	0.00
126	226	Submission of Information Disclosure Stmt	0.00
581	581	Recording each patent assignment per property (times number of properties)	40
146	246	Filing a submission after final rejection (37 CFR 1.129(a))	0.00
149	249	For each additional invention to be examined (37 CFR 1.129(b))	0.00
Other fee (specify)			0.00
Other fee (specify)			0.00

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 40)

SUBMITTED BY

Typed or Printed Name David G. Latwesen, Ph.D.

Signature

Date

1/5/2001

Complete (if applicable)

Reg. Number 38,533

Deposit Account User ID